



# UNITED STATES PATENT AND TRADEMARK OFFICE

UNITED STATES DEPARTMENT OF COMMERCE  
United States Patent and Trademark Office  
Address: COMMISSIONER FOR PATENTS  
P.O. Box 1450  
Alexandria, Virginia 22313-1450  
www.uspto.gov

APPLICATION NO.	FILING DATE	FIRST NAMED INVENTOR	ATTORNEY DOCKET NO.	CONFIRMATION NO.
09/848,291	05/03/2001	Thanh V. Lam	POU901007US1	9603

46369 7590 06/24/2005

HESLIN ROTHENBERG FARLEY & MESITI P.C.  
5 COLUMBIA CIRCLE  
ALBANY, NY 12203

EXAMINER
----------

ZHEN, WEI Y

ART UNIT	PAPER NUMBER
----------	--------------

2191

DATE MAILED: 06/24/2005

Please find below and/or attached an Office communication concerning this application or proceeding.

## Office Action Summary

Application No.

09/848,291

Applicant(s)

LAM, THANH V.

Examiner

Wei Y. Zhen

Art Unit

2191

-- The MAILING DATE of this communication appears on the cover sheet with the correspondence address --

### Period for Reply

A SHORTENED STATUTORY PERIOD FOR REPLY IS SET TO EXPIRE 3 MONTH(S) FROM THE MAILING DATE OF THIS COMMUNICATION.

- Extensions of time may be available under the provisions of 37 CFR 1.136(a). In no event, however, may a reply be timely filed after SIX (6) MONTHS from the mailing date of this communication.
- If the period for reply specified above is less than thirty (30) days, a reply within the statutory minimum of thirty (30) days will be considered timely.
- If NO period for reply is specified above, the maximum statutory period will apply and will expire SIX (6) MONTHS from the mailing date of this communication.
- Failure to reply within the set or extended period for reply will, by statute, cause the application to become ABANDONED (35 U.S.C. § 133). Any reply received by the Office later than three months after the mailing date of this communication, even if timely filed, may reduce any earned patent term adjustment. See 37 CFR 1.704(b).

### Status

- 1) ☒ Responsive to communication(s) filed on 05 April 2005.
- 2a) ☒ This action is **FINAL**. 2b) ☐ This action is non-final.
- 3) ☐ Since this application is in condition for allowance except for formal matters, prosecution as to the merits is closed in accordance with the practice under *Ex parte Quayle*, 1935 C.D. 11, 453 O.G. 213.

### Disposition of Claims

- 4) ☒ Claim(s) 1-10, 12, 13, 16-30, 32, 33, 36-53, 55, 56 and 59-68 is/are pending in the application.
- 4a) Of the above claim(s) \_\_\_\_\_ is/are withdrawn from consideration.
- 5) ☐ Claim(s) \_\_\_\_\_ is/are allowed.
- 6) ☒ Claim(s) 1-10, 12-13, 16-30, 32-33, 36-53, 55-56, 59-68 is/are rejected.
- 7) ☐ Claim(s) \_\_\_\_\_ is/are objected to.
- 8) ☐ Claim(s) \_\_\_\_\_ are subject to restriction and/or election requirement.

### Application Papers

- 9) ☐ The specification is objected to by the Examiner.
- 10) ☐ The drawing(s) filed on \_\_\_\_\_ is/are: a) ☐ accepted or b) ☐ objected to by the Examiner.  
Applicant may not request that any objection to the drawing(s) be held in abeyance. See 37 CFR 1.85(a).  
Replacement drawing sheet(s) including the correction is required if the drawing(s) is objected to. See 37 CFR 1.121(d).
- 11) ☐ The oath or declaration is objected to by the Examiner. Note the attached Office Action or form PTO-152.

### Priority under 35 U.S.C. § 119

- 12) ☐ Acknowledgment is made of a claim for foreign priority under 35 U.S.C. § 119(a)-(d) or (f).
- a) ☐ All b) ☐ Some \* c) ☐ None of:
1. ☐ Certified copies of the priority documents have been received.
2. ☐ Certified copies of the priority documents have been received in Application No. \_\_\_\_\_.
3. ☐ Copies of the certified copies of the priority documents have been received in this National Stage application from the International Bureau (PCT Rule 17.2(a)).
- \* See the attached detailed Office action for a list of the certified copies not received.

### Attachment(s)

- 1) ☐ Notice of References Cited (PTO-892)
- 2) ☐ Notice of Draftsperson's Patent Drawing Review (PTO-948)
- 3) ☐ Information Disclosure Statement(s) (PTO-1449 or PTO/SB/08)  
Paper No(s)/Mail Date \_\_\_\_\_.
- 4) ☐ Interview Summary (PTO-413)  
Paper No(s)/Mail Date \_\_\_\_\_.
- 5) ☐ Notice of Informal Patent Application (PTO-152)
- 6) ☐ Other: \_\_\_\_\_.

### DETAILED ACTION

1. This office action is in response to the amendment filed on 4/5/2005.
2. Claims 1-10, 12-13, 16-30, 32-33, 36-53, 55-56, 59-68 are pending.

### *Claim Rejections - 35 USC § 102*

3. The following is a quotation of the appropriate paragraphs of 35 U.S.C. 102 that form the basis for the rejections under this section made in this Office action:

A person shall be entitled to a patent unless –

(b) the invention was patented or described in a printed publication in this or a foreign country or in public use or on sale in this country, more than one year prior to the date of application for patent in the United States.

Claims 1-10, 12-13, 16-30, 32-33, 36-53, 55-56, 59-68 are rejected under 35

U.S.C. 102(b) as being anticipated by Mizuyama et al, U.S. Patent No. 5,946,693.

As per claim 1, Mizuyama et al discloses

providing a plurality of observable objects, each observable object being provided for a different corresponding field of a plurality of fields of a data entry form to be audited (Fig. 1 and col.1 line 60 to 67 and col. 2 lines 1-18), each said observable object including logic to be used for auditing data of its corresponding field (col. 2 lines 5-18, lines 22-52), and auditing data of the plurality of fields using the plurality of observable objects (col. 2 lines 5-18, lines 22-52).

As per claim 2, Mizuyama et al discloses

the plurality of observable objects provide a decentralized locations for auditing the data of the plurality of field (col. 2 lines 5-18, lines 22-52).

Art Unit: 2191

As per claim 3, Mizuyama et al discloses building a modifier object for a corresponding field, in response to the auditing determining that a specified event related to the corresponding field has occurred (col. 2 lines 35-52).

As per claim 4, Mizuyama et al disclose the specified event includes a change in the data of the corresponding field (col. 2 lines 35-52).

As per claim 5, Mizuyama et al disclose forwarding the modifier object to a pool of one or more modifier objects (col. 2 lines 35-52 and col. 6 line 47-col. 7 line 40).

As per claim 6, Mizuyama et al disclose retrieving, by an observer, the modifier object from the pool; and running a modifier method of said modifier object to accommodate the specified event (col. 2 lines 35-52 and col. 6 line 47-col. 7 line 40).

As per claim 7, Mizuyama et al disclose the modifier method comprises a modify method, and running the modify method causes changed data to be stored in a storage medium (col. 2 lines 35-52 and col. 6 line 47-col. 7 line 40).

As per claim 8, Mizuyama et al disclose informing the observer that the modifier object

Art Unit: 2191

has been added to the pool of one or more modifier objects (col. 2 lines 35-52 and col. 6 line 47-col. 7 line 40).

As per claim 9, Mizuyama et al disclose the observer is a test observer used for debugging (col. 5 line 49 to col. 6 line 10 and col. 6 line 49 to col. 7 line 11).

As per claim 10, Mizuyama et al disclose the modifier method comprises a test method used for debugging (col. 5 line 49 to col. 6 line 10 and col. 6 line 49 to col. 7 line 11).

As per claim 12, Mizuyama et al disclose automatically building a modifier object for each field of said plurality of fields that includes changed data, as determined by the auditing (col. 2 lines 35-52 and col. 6 line 47-col. 7 line 40).

Claim 13 is rejected for the reason set forth in the rejections of claims 1, 3-6 and 8.

As per claim 16, Mizuyama et al discloses

providing an observable object for each component of a plurality of component of multiple components of said self-monitoring framework to be audited (Fig. 1 and col. 1 line 60 to 67 and col. 2 lines 1-18), each said observable object including logic to be used for auditing data of its associated component (col. 2 lines 5-18, lines 22-52), and auditing data of said each component using the observable object corresponding to that component (col. 2 lines 5-18, lines 22-52).

As per claim 17, Mizuyama et al discloses

Art Unit: 2191

building a modifier object for each component of said plurality of components determined by the auditing to have had a specified event for that component occur (col. 2 lines 35-52).

As per claim 18, Mizuyama et al disclose wherein the specified event for a component is related to one or more operating conditions of the component (col. 2 lines 35-52 and col. 6 line 47-col. 7 line 40).

Claims 19-20 are rejected for the reasons set forth in the rejections of claims 5-6.

Claims 21-30, 32 are rejected for the reasons set forth in the rejections of claims 1-10, 12.

Claim 33 is rejected for the reason set forth in the rejections of claim 13.

Claims 36-40 are rejected for the reasons set forth in the rejections of claims 16-20.

Claim 41 is rejected for the reasons set forth in the rejections of claim 1.

Claim 42 is rejected for the reason set forth in the rejections of claims 1, 3-6 and 8.

Claim 43 is rejected for the reasons set forth in the rejections of claim 16.

Claims 44-53, 55-56, 59-63 are rejected for the reasons set forth in the rejections of claims 1-10, 12-13, 16-20.

Claims 64, 65, 66, 67, 68 are rejected for the reasons set forth in the various combinations of rejections of claims 1-6.

#### ***Response to Arguments***

4. Applicant's arguments filed 4/5/2005 have been fully considered but they are not persuasive.

Art Unit: 2191

In the remark, applicant has argued:

1) Mizuyama fails to disclose any teaching of a data entry form per se and the auditing of a data entry form using a facility such as recited by applicant. Mizuyama does not disclose a facility for providing a plurality of observable objects with each observable object being provided for a different, corresponding field of a plurality of fields of a data entry form to be audited.

Examiner's response:

1) Examiner disagrees. Mizuyama clearly disclose a data entry form (Fig. 2) and the auditing of a data entry form using a facility such as recited by applicant (Fig. 1 and col.1 line 60 to 67 and col. 2 lines 1-18). Mizuyama clearly discloses a facility for providing a plurality of observable objects (col. 2 line 57-65, "...data stored in the slot data defined in the observable objects...") with each observable object being provided for a different, corresponding field of a plurality of fields of a data entry form to be audited (Fig. 1 and col.1 line 60 to 67 and col. 2 lines 1-18, especially at col. 5 lines 10-17, "...when the data of the observable 101 are changed, an event called an "update" that indicates the change...is posted...").

Applicant's argument:

2) Mizuyama fail to disclose building a modifier objects for a corresponding field in response to the auditing determining that a specified event related to the corresponding field has occurred.

Examiner's response:

Art Unit: 2191

2) Examiner disagrees. Mizuyama clearly discloses building a modifier objects for a corresponding field in response to the auditing determining that a specified event related to the corresponding field has occurred (col. 2 lines 35-52, and col. 6 lines 41-62, “executes the “isModified procedure”...this procedure returns the Boolean value “true” if the “data” in the slots 103 has been changed...”).

Applicant’s argument:

3) Mizuyama fail to disclose forwarding each modifier object to a pool of one or more modifier objects. Mizuyama fail to disclose informing an observer object that the modifier object has been added to the pool, subsequently retrieving by the observer object the modifier object from the pool and running by the observer object, a modified method of the modifier object to accommodate the change in the data of the corresponding field.

Examiner’s response:

3) Mizuyama clearly discloses informing an observer object that the modifier object has been added to the pool, subsequently retrieving by the observer object the modifier object from the pool and running by the observer object, a modified method of the modifier object to accommodate the change in the data of the corresponding field occurred (col. 2 lines 35-52, and col. 6 lines 41-62, “executes the “isModified procedure”...this procedure returns the Boolean value “true” if the “data” in the slots 103 has been changed...”, the “isModified procedure” is inherently been added to a pool to be utilized to determine whether a change has occurred).

### ***Conclusion***



Art Unit: 2191

5. **THIS ACTION IS MADE FINAL.** Applicant is reminded of the extension of time policy as set forth in 37 CFR 1.136(a).

A shortened statutory period for reply to this final action is set to expire **THREE MONTHS** from the mailing date of this action. In the event a first reply is filed within **TWO MONTHS** of the mailing date of this final action and the advisory action is not mailed until after the end of the **THREE-MONTH** shortened statutory period, then the shortened statutory period will expire on the date the advisory action is mailed, and any extension fee pursuant to 37 CFR 1.136(a) will be calculated from the mailing date of the advisory action. In no event, however, will the statutory period for reply expire later than **SIX MONTHS** from the mailing date of this final action.

6. Any inquiry concerning this communication or earlier communications from the examiner should be directed to Wei Y Zhen whose telephone number is (571) 272-3708. The examiner can normally be reached on Monday-Friday, 8 a.m. - 4:30 p.m..

If attempts to reach the examiner by telephone are unsuccessful, the examiner's supervisor, Tuan Dam can be reached on (571) 272-3695. The fax phone number for the organization where this application or proceeding is assigned is 703-872-9306.

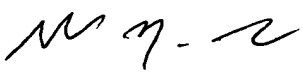
Information regarding the status of an application may be obtained from the Patent Application Information Retrieval (PAIR) system. Status information for published applications may be obtained from either Private PAIR or Public PAIR. Status information for unpublished applications is available through Private PAIR only. For more information about the PAIR system, see <http://pair-direct.uspto.gov>. Should you have questions on access to the Private PAIR system, contact the Electronic Business Center (EBC) at 866-217-9197 (toll-free).

Application/Control Number: 09/848,291

Page 9

Art Unit: 2191

Wei Zhen  
6/16/2005

  
**WEI Y. ZHEN**  
**PRIMARY EXAMINER**